

Small Business Innovation Research and Small Business Technology Transfer (SBIR/STTR) – Phase IB Proposal Preparation

DUE DATE: October 15 or April 15 (whichever date falls during the Phase I period of performance).

More details on the Phase IB program are found here:

<http://www.nsf.gov/eng/iip/sbir/Supplement>

Phase IB proposals MUST be submitted using FastLane (www.fastlane.nsf.gov/fastlane).

Proposals must be submitted according to the instructions for submitting supplemental funding requests found on the SBIR/STTR home page <http://www.nsf.gov/eng/iip/sbir> under *Supplemental Requests*.

Proposals must address two issues:

- the research activities that will be funded by the NSF to strengthen the project's scientific and engineering feasibility;
- the business development and marketing activities that will be supported by the outside funds.

The majority of the Phase IB proposal details should be included in the "Summary of Proposed Work" module and shall not exceed 15 pages (**a length of 4-6 pages is highly recommended**). The additional work proposed should be an expansion of the technical work being performed in the Phase I project and must fall within the scope of the present Phase I project and its logical path to commercialization.

Steps for preparing the proposal using the FastLane system:

1. Go to the FastLane Home Page (www.fastlane.nsf.gov)
2. Select from the left hand-side of the page the "Proposals, Awards and Status" link
3. Provide your Last Name, SSN, and Password. Click on "Login"
4. Select from the Principal Investigator (PI)/Co-Principal Investigator (Co-PI) Management Screen the option entitled "Award And Reporting Functions"
5. Select the "Supplemental Funding Request" link
6. A List of Current Awards will appear. Highlight the award you are preparing the Phase IB proposal for and then click "Prepare Supplemental Funding Request"
7. Highlight award number (it should already be highlighted) and then click on "Create New Supplemental Funding Request"
8. At the Form Preparation Screen, 6 "GO" buttons appear. The following information MUST be provided in each:

GO Summary of Proposed Work

New R&D Activities Section – A length of 4 to 6 pages is highly recommended for this section. This section should contain three parts: 1) a discussion of the "New" R&D activities which the additional NSF funding will support, including technical objectives and work plan, 2) a brief description of the nature of the fully executed third-party funding commitment, and a brief discussion of how the third-party funding will be used to accelerate and/or expand commercialization, and 3) the Phase IB data table, as explained in the [Dear Colleague Letter](#).

GO Justification for Supplement

Third-Party Investment Documents – Upload all relevant documentation from the fully-executed third-party investment. This includes evidence of a legal commitment of funds (signed contracts, investment documents, purchase orders, license agreements, etc.) and, where available, evidence of receipt of funds (bank statements, wire transfer notices, etc.).

GO Revised Expiration Date:

New Phase I expiration date – Add 6 months to your current expiration date (found in your Phase I award letter).

GO Budgets (including Justification)

Phase IB budget – Prepare new budget for the Phase IB activities (only include the requested NSF funding in the budget).

- Provide complete line item justification for ALL budget items.
- The budgeted rates **MUST** not exceed the rates used in the Phase I budget. Furthermore, the budget justification must include a statement that all budgeted rates do not exceed the rates awarded under the Phase I grant. Budgeted rates include salaries, indirect costs, fringe benefits, overhead, G&A, unit cost rates, etc.
- All items listed under materials and supplies or "other" should be accompanied by price quotes and/or invoices, if the extended amount is over \$5,000. If the prices come from catalogs then identify the catalog. In the Phase IB, no capital equipment purchases are allowed.
- Trips should be broken down and conferences should be identified, along with the name of the person to present research results. Only the person presenting results will be able to charge to this award.

- The Phase IB budget must also adhere to the NSF SBIR requirement that the PI must be primarily employed by the company, and the PI must commit a minimum of 1 calendar-month of effort to the project.
- The budget must also allocate at least 66% of all funds to the small business, as was required in Phase I.

GO Add/Delete Non Co-PI Senior Personnel

Use this module if personnel for the Phase IB activities will change from the present Phase I project

9. Complete all required forms and then click on "Go Back"
10. At the "Request for Supplemental Funding" screen click on "Allow SRO Access"
11. At the "Sponsored Research Office (SRO) Access Control" screen, select "Allow SRO to view, edit and submit proposal" **Common Error – All grantee organizations have a SRO, no matter how small. This step must be completed separately on Fastlane from PI functions.**
12. A confirmation message stating that the SRO has access to the proposal will appear.
13. To actually submit the Phase IB proposal the following steps will need to be performed. This can only be done by the individual that the company has designated as the "Authorized Organizational Representative" (AOR/SRO).
 - Go to the FastLane Home Page.
 - Select from the left hand-side the "Research Administration" link
 - Provide your Last Name, SSN, and Password.
 - From the "Research Administration Functions for Your Company" select the "Submit Proposals to NSF" GO button.
 - In the "Proposals in Progress" window, highlight the proposal and then select "Submit".
14. If you have problems or questions, please contact the NSF FastLane Help Desk at 1-800-673-6188. Make sure to inform the Help Desk that you are submitting a Supplemental Funding Request.